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088 /PTO U.S. Department of Patent and Trader		Арр	licati	on Number	10/601,1	73			
		Filin	g Da	te .	June 19	, 20	003	-	
TRANSMITTAL FORM				First Named Inventor		Ka Shun Kevin Fung			
(to be used for all correspondence during pe filed application)	endency of ·	Group Art Unit Number		3624					
		Exa	mine	r Name	Not yet	kno	own		
Total Number of Pages in This Submission	5 *	Atto	rney	Docket Number	23876-0	910	)5		
ENCLO	OSURES	(ch	neck	all that apply	<i>'</i> )				
Check Enclosed  Return Receipt Postcard  Response to Notice to File Missing Part Assignment & Recordation Cover Shee Declaration Power of Attorney Application Data Sheet  Information Disclosure Statement & PTo  Copies of IDS Cited Reference Request for Corrected Filing Receipt Request for Correction of Recorded Ass Amendment/Response: [ ] Page(s)  After Final  Status Request Revocation and Substitute Power of Att  REMARKS: * Does not include pages in reference  Return Receipt Postcard  Assignment & Recordation Cover Sheet  Declaration  Power of Attorney  Application Data Sheet  Information Disclosure Statement & PTo  Application Disclosure Statement & PTo  Page(s)  After Final  Status Request  Revocation and Substitute Power of Att	O/SB/08A ces signment			Issue Fee Transr Letter to Chief Dr Formal Drawing(s	raftsperson s): i) of Figure(s) ication to Bo ication to Go Brief, Reply Priority Doo	oard roup <i>Brie</i>	of Appe ef) ent(s)		nd
Signature:  Attorney/Reg. No.: Michael W. Farn, Reg. No. 41,015  CERTIFICATE OF MAILING  I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Postrotfice to Addressee" service pursuant to 37 CFR 1.10.  Signature:									
Typed or Printed Name: Michael W. Fari	n			·	Dated	<u>j:</u>	JUNE	23	, 2004
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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**LICANTS**:

Kevin Ka-Shun Fung

**APPLICATION NO.:** 

10/601,173

FILING DATE:

June 19, 2003

TITLE:

Method and System for Utilizing a Special Purpose Vehicle for

Improving the Liquidity of Transactions

**EXAMINER:** 

Not yet known

**GROUP ART UNIT:** 

3624

ATTY. DKT. NO.:

23876-09105

## **CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below:

Dated:

JUNE 23, 2004

By:

Michael W. Farn, Reg. No. 41,015

MAIL STOP AMENDMENT COMMISSIONER FOR PATENTS P.O. BOX 1450 **ALEXANDRIA, VA 22313-1450** 

## SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT Under 37 CFR §§ 1.56 and 1.97-98

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner. Enclosed is a copy of each non-U.S. patent listed reference that may be material to the examination of this application, and for which there may be a duty to disclose. Please advise if you wish to have copies of any listed U.S. patent(s).

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

$\boxtimes$	within	three m	nonths of the filing date of the application, or date of entry
	into the	e nation	al stage of an international application, or before the mailing
	date of	a first	office action on the merits, whichever event last occurred;
	before	the mai	ling of a first official action after the filing of a request for
	continu	ied exa	mination (RCE) under 37 CFR § 1.114;
	after th	ree mo	nths of the filing date of this national application or the date
	of entr	y of the	national stage in an international application, or after the
	mailing	g date o	f the first official action on the merits, whichever event last
	occurre	ed, but l	before the mailing date of the first to occur of either: (1) a
	final ac	ction un	der 37 CFR §1.113; or (2) an action that otherwise closes
	prosect	ution in	the application, and:
		attach	ed hereto is the fee set forth under 37 CFR §1.17(p) for
		submi	ission of this Information Disclosure Statement under 37
		CFR.	§ 1.97(c); OR
		Appli	cant certifies pursuant to 37 CFR § 1.97(e) that:
			each item of information contained in this Information
		•	Disclosure Statement was first cited in a communication
			from a foreign patent office in a counterpart foreign
			application not more than three months prior to the filing of
			this Statement; OR
			no item of information contained in this Information
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			foreign patent office in a counterpart foreign application
			and, to the knowledge of the person signing this
			certification after making reasonable inquiry, no item of
			information contained in this Statement was known to any
•			individual designated under 37 CFR § 1.56(c) more than
			three months prior to the filing of this Statement;
	on or	before t	the payment of the issue fee but after the mailing date of the
	first to	occur	of either: (1) a final action under 37 CFR § 1.113; (2) a
	notice	of allo	wance under 37 CFR § 1.311; or (3) an action that otherwise
-	closes	prosec	ution in the application, and:
		Appli	cant certifies pursuant to 37 CFR. § 1.97(e) that:
			each item of information contained in this Information
			Disclosure Statement was cited in a communication from a
			foreign patent office in a counterpart foreign application not
			more than three months prior to the filing of this Statement;
			or

					no item of	information contained in this Information
					Disclosure	Statement was cited in a communication from a
					foreign pat	ent office in a counterpart foreign application
					and, to the	knowledge of the person signing this
		٠			certificatio	n after making reasonable inquiry, no item of
					information	n contained in this Statement was known to any
						designated under 37 CFR § 1.56(c) more than
•						hs prior to the filing of this Statement; AND
				attache	ed hereto is	the fee set forth under 37 CFR §1.17(p) for
				submi	ssion of this	Information Disclosure Statement under 37
				CFR.§	1.97(c); OF	<b>{</b>
			after t	he paym	ent of the is	sue fee. Applicant requests that the information
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			accord	ding to 3	7 CFR § 1.9	77(i), although the information may not be
			consid	lered by	the USPTO	•
		This ap	plicati	on relie	s, under 35 l	U.S.C. § 120, on the earlier filing date of prior
		applica	tion N	o. APPI	LICATION 1	NO., filed on DATE FILED, and the references
		cited th	nerein a	are herel	y reference	d, but are not required to be provided in this
		applica	ition ui	nder 37	CFR § 1.98(	(d).
		Each it	em of	informa	tion contain	ed in this Information Disclosure Statement was
		cited in	a com	munica	tion from a	foreign patent office in a counterpart application,
		and the	comn	nunicatio	on was not r	eceived by any individual designated in 37 CFR
		§ 1.56(	(c) mor	e than th	nirty days pr	ior to the filing of this Information Disclosure
		Statem	ent. 3'	7 CFR §	1.704(d).	
	$\boxtimes$	Applic	ant sub	mits tha	at no fee is r	equired for the consideration of this Information
		Disclo	sure St	atement	•	·
	Cons	ideration	of the	listed re	ferences and	l favorable action are solicited.
					Res	spectfully submitted,
					KE	VIN KA-SHUN FUNG
						1 7 0 10
Dated:		JUNE	23,	2004	Ву:	Whobael W.D
					-	Michael W. Farn, Reg. No. 41,015
						FENWICK & WEST LLP Silicon Valley Center
						801 California Street
						Mountain View, CA 94041
						Tel: (650) 335-7823
						Fax: (650) 938-5200

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MATION DISCLOSUE

of

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STATEMENT E	BY APP	LICANT

Complete if Known				
Application No.	10/601,173			
Filing Date	June 19, 2003			
First Named Inventor	Ka Shun Kevin Fung	·		
Art Unit	3624			
Examiner Name	Not yet known			
Attorney Docket Number	23876-09105			

	U.S. PATENT DOCUMENTS						
		Document No.					
Examiner Initials*	Cite No.1	Number – Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document			
		US-2001/0032175 A1	10-18-2001	Holden et al.			
	•	US-2001/0034691 A1	10-25-2001	Guarino et al.			
		US-2002/0026401 A1	02-28-2002	Hueler			
		US-2002/0038273 A1	03-28-2002	Wherry et al.			
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		US-2002/0156719 A1	10-24-2002	Finebaum et al.			
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		US-6321212 B1	11-20-2001	Lange			

FOREIGN PATENT DOCUMENTS						
		Foreign Patent Document				
Examiner Initials*	Cite No. <sup>1</sup>	Country Code <sup>3</sup> – Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>	
	1	CN 1315709 A	10-03-2001	Future Circulation Network Co. Ltd.		
	2	WO 02/056146 A2	07-18-2002	Vertical Crossings.com, Inc.		
	3	WO 02/13111 A1	02-14-2002	The Debt Exchange, Inc.		
	4	WO 02/37390 A2	05-10-2002	Liquidity Direct		
	5	WO 03050654 A2	06-19-2003	Bank One		

	OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>					

Examiner Signature	Date Considered	

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<sup>&</sup>lt;sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP .901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.